

FORM PTO-1390  
(REV. 5-93)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTORNEY CHECK NUMBER  
10191/1808**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**09/889838**INTERNATIONAL APPLICATION NO.  
PCT/DE00/03545INTERNATIONAL FILING DATE  
(10.10.00)  
10 October 2000PRIORITY DATE(S) CLAIMED  
(27.11.99)  
27 November 1999TITLE OF INVENTION  
**PLASMA ETCHING METHOD HAVING PULSED SUBSTRATE ELECTRODE POWER**

APPLICANT(S) FOR DO/EO/US

**LAERMER, Franz and SCHILP, Andrea**

Applicant(s) herewith submit to the United States Designated/Elected Office (DO/EO/US) the following items and other information

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) immediately rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)) (unsigned).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☒ A substitute specification and a marked up version thereof.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: International Search Report and Form PCT/RO/101.

U.S. APPLICATION NO. if known, see 37 C.F.R.1.5 <div style="font-size: 2em; font-weight: bold; margin-top: 10px;">09/889838</div>		INTERNATIONAL APPLICATION NO. PCT/DE00/03545		ATTORNEY DOCKET NUMBER 10191/1808	
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17. <input checked="" type="checkbox"/> The following fees are submitted:  <b>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</b> Search Report has been prepared by the EPO or JPO ..... \$860.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) .... \$690.00  No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... \$710.00  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$1,000.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ..... \$100.00				<div style="border-bottom: 1px solid black; margin-bottom: 5px;">CALCULATIONS   PTO USE ONLY</div>	
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ENTER APPROPRIATE BASIC FEE AMOUNT =				\$ 860	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
Claims	Number Filed	Number Extra	Rate		
Total Claims	21 - 20 =	1	X \$18.00	\$ 18	
Independent Claims	1 - 3 =	0	X \$80.00	\$ 0	
Multiple dependent claim(s) (if applicable)			+ \$270.00	\$ 0	
TOTAL OF ABOVE CALCULATIONS =				\$ 878	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$	
SUBTOTAL =				\$ 878	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+	\$
TOTAL NATIONAL FEE =				\$ 878	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$
TOTAL FEES ENCLOSED =				\$ 878	
				Amount to be: refunded	\$
				charged	\$

  

a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 11-0600 in the amount of \$878.00 to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 11-0600. A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Kenyon & Kenyon  
 One Broadway  
 New York, New York 10004  
  
 CUSTOMER ID NO. 26646

*By: Do Magenta (Reg. No. 41,172)*

Richard L. Mayer

SIGNATURE

Richard L. Mayer, Reg. No. 22,490

NAME

7/23/01

DATE

EXPRESS MAIL CERTIFICATE

"EXPRESS MAIL" MAILING LABEL NUMBER EL244504767US  
DATE OF DEPOSIT 7/23/01  
TYPE OF DOCUMENT National Phase Application  
RE: LAERMER, Franz, et al.  
SERIAL NO. To be Assigned FILING DATE Herein

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE, BY BEING HANDED TO A POSTAL CLERK OR BY BEING PLACED IN THE EXPRESS MAIL BOX BEFORE THE POSTED DATE OF THE LAST PICK UP, AND IS ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231.

Chandru Seemaran  
(PRINTED NAME OF PERSON MAILING PAPER OR FEE)

Chandru Seemaran  
(SIGNATURE OF PERSON MAILING PAPER OR FEE)

Plasma Etching Method Having Pulsed Substrate Electrode Power.